Exhibit B

Procedures and Requirements Local Government Waste Tire Enforcement (TEA) Grant Program

29th Cycle
Fiscal Year 2021–2022
Revised 03/21/2022

Copies of these Procedures and Requirements must be shared with both the Finance Department and the staff responsible for implementing the grant activities.

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Introduction

The Department of Resources Recycling and Recovery (CalRecycle) administers the Local Government Waste Tire Enforcement (TEA) Grant Program. These Procedures and Requirements describe project and reporting requirements, report due dates, report contents, grant payment conditions, eligible and ineligible project costs, project completion and closeout procedures, and records and audit requirements.

This document is attached to, and incorporated by reference, into the Grant Agreement.

Milestones

June 30, 2022: Grant Term and Grant Performance Period Begin
February 25, 2023: Mid-year Progress Report and Payment Request Due
June 29, 2023: Grant Performance Period Ends
June 30, 2023–**September 30, 2023**: Report Preparation Period
September 30, 2023: Final Report and Final Payment Request Due
September 30, 2023: Grant Term End

Grants Management System (GMS)

GMS is CalRecycle's web-based grant application and Grants Management System. Access to GMS is secure; grantees must log in using a WebPass. WebPass accounts are tied to a specific email address. If an email address changes, or if it becomes inactive, the grantee must create a new WebPass account to continue accessing GMS. Establish or manage a WebPass at [CalRecycle's WebPass page](https://secure.calrecycle.ca.gov/WebPass/) (https://secure.calrecycle.ca.gov/WebPass/).

Accessing the Grant

Grantees must [log in to GMS](https://secure.calrecycle.ca.gov/Grants) (https://secure.calrecycle.ca.gov/Grants) using their web pass. After logging in, locate the grant in the **My Awarded/Open Grants** table and select the **Grant Management** link. The **Grant Management Module** includes the following sections:

- **Summary tab**: Shows approved budget, paid and remaining amounts. (This section is available to the grantee in read-only mode.)
- **Payment Request tab**: Grantee requests reimbursement.
- **Reports tab**: Grantee uploads required reports.
- **Documents tab**: Grantee uploads all other grant documents that are not supporting documents to a payment request or a report. This section also provides access to documents that were uploaded within other sections of GMS.

Follow the instructions in GMS to work in the system. The following sections describe the reports, transactions, and supporting documents CalRecycle requires.

Contact Updates

Access to the grant is limited to those listed in the **Contacts** tab of the **Application Module** with the "Allow Access" check box marked. A contact may be listed but not

granted access by not checking the box. Please note, if a contact is granted access to a grant they will be able to edit contacts, submit payment requests, upload reports, and view all documents. Those with access may update contact information for all contact types except Signature Authority. Email the assigned Grant Manager regarding any changes to Signature Authority information.

Prior to Commencing Work

Prior to commencing work under this grant, the grantee's Grant Manager or primary contact and authorized grant Signature Authority should review the Terms and Conditions (Exhibit A) and the Procedures and Requirements (Exhibit B) to identify key grant administrative requirements. Evaluation of the grantee's compliance with these requirements is a major focus of grant audits.

Reliable Contractor Declaration

Prior to authorizing a contractor or subcontractor to commence work under this grant, the grantee shall submit to the Grant Manager a declaration from the contractor or subcontractor, signed under penalty of perjury, stating that within the preceding three (3) years, none of the events listed in section 17050 of Title 14 (https://www.calrecycle.ca.gov/Laws/Regulations/Title14/), California Code of Regulations, Natural Resources, Division 7, has occurred with respect to the contractor or subcontractor. The grantee must submit this form for each contractor and subcontractor working under the grant.

If a contractor or subcontractor is placed on the CalRecycle Unreliable Contractor List (https://www.calrecycle.ca.gov/Funding/Unreliability/) after award of this grant, the grantee may be required to terminate the contract. Obtain the Reliable Contractor Declaration form (CalRecycle 168) from CalRecycle's Grant Forms web page (https://www.calrecycle.ca.gov/Funding/Forms/).

The grantee must upload a scanned copy of each signed Reliable Contractor Declaration form in GMS. To upload the form:

1. Go to the **Reports** tab.
2. Click on **Reliable Contractor Declaration** under **Report Type**.
3. Click the **Add Document** button.
4. Select Reliable Contractor Declaration in the **Document Type** drop down box, enter a document title, click the **Browse** button to search and upload the document, and then **Save**.
5. Click on the **Submit Report** button.

For further instructions regarding GMS, including login directions, see the "Grants Management System" section (above).

Grant Term, Grant Performance Period, and Report Preparation Period

The Grant Term begins on June 30, 2022, the date of the Notice to Proceed (NTP) email, which is the formal notification from CalRecycle authorizing the grantee to begin the grant project, and ends on September 30, 2023. The grantee must make all grant-eligible program expenditures and incur all grant-eligible costs within this period. Expenditures made or costs incurred prior to June 30, 2022, the date of the NTP email, or after the end date are not eligible for reimbursement. Most costs are further limited during the Report Preparation Period (see details below).

The Grant Performance Period begins on June 30, 2022, the date of the Notice to Proceed Email, and ends on June 29, 2023.

The Report Preparation Period is from June 30, 2023 to September 30, 2023. **Costs incurred to prepare the Final Report and final Payment Request are the only costs that are eligible for reimbursement during the Report Preparation Period.**

The Final Report and final Payment Request are due on September 30, 2023.

Eligible Costs

Grantees may incur eligible costs only during the Grant Term, which starts on June 30, 2022 when the grantee receives a Notice to Proceed from CalRecycle, and ends on September 30, 2023. (See "Grant Term, Grant Performance Period, and Report Preparation Period" for additional information). All grant expenditures must be for activities, products, and costs specifically included in the approved Work Plan and approved Budget, activities approved by CalRecycle or activities that are conducted in compliance with criteria and timelines detailed within the CalRecycle Waste Tire Enforcement Manual. To be eligible for reimbursement, costs must be incurred after receiving a Notice to Proceed and before the end of the Grant Term. All services must be provided and goods received during this period in order to be eligible costs. Invoices for goods and services must be paid by the grantee prior to the inclusion of those goods or services on a payment request.

Percentage caps on several categories below are calculated on the total budget award. These caps do not apply to an invoice. The amount budgeted for line items with percentage caps may be fully expended regardless of the percentage that category may represent within a single invoice. The total grant funds expended in any category shall not exceed the approved budget without an approved budget modification.

Eligible costs include the following:

Administrative Costs
Administrative Costs may not exceed 15 percent of the total approved Budget.

Eligible administrative costs are limited to:
* Eligible administrative costs include personnel time for which there is a direct and demonstrable link to implementation of the TEA grant.

- Administrative functions for which there is a direct and demonstrable link to implementation of the TEA grant.

Examples of eligible activities include:
- Preparation and submittal of Progress Reports, Payment Requests, and required documents.
- Grant-related communication.
- Compliance activities related to performance evaluation or audits.
- Development and maintenance of a system to track grant costs.
- TEA grant personnel administration.
- Preparation and submittal of the next TEA grant cycle application.

Education
Education costs are limited to 10 percent of the total approved Budget.

Eligible education activities and costs include:

- Eligible education costs include personnel time, and reproduction of educational materials for the purpose of educating waste tire generators and haulers about laws and regulations related to waste tire management.

Examples of eligible activities include:
1. Obtaining Waste Tire Management System (WTMS) reports of newly issued Tire Program Identification (TPID) numbers.
2. Printing and distributing CalRecycle Tire Program Educational Brochures (http://www.calrecycle.ca.gov/tires/enforcement/Grantee/Resources.htm) when conducting educational visits for TPID numbers.
3. Informing businesses and business owners/operators about applicable waste tire laws and regulations and available compliance resources.
4. Providing tire-related education to Local Conservation Corps (https://www.calrecycle.ca.gov/Funding/LocalCC/).
5. Providing other outreach activities requested by CalRecycle.

Enforcement Actions and Surveillance
Eligible enforcement and surveillance activities include steps taken beyond normal inspection activities to identify illegal waste tire activity and collect evidence as defined below.
1. Eligible, enforcement and surveillance activities **must** be directly related to identifying, researching, surveilling, investigating, and/or documenting at least one of the following issues:
    - Illegal (unpermitted) waste tire storage sites and activities with 500 or more waste tires.
    - Individuals responsible for illegal dumping of waste tires.
    - Private property on which illegal dumping of waste tires is occurring or has occurred with 500 or more waste tires.
        i. **Note:** (Private property with more than 500 illegal stored waste tires must be referred to CalRecycle for enforcement prior to seeking remediation.)
    - Unregistered waste tire haulers hauling 10 or more waste or used tires.

2. Eligible enforcement and surveillance activities may include the following activities:
   - Coordinating and working with CalRecycle, the California Highway Patrol, local District Attorney (DA), task forces, other TEAs, and local law enforcement on:
     o Gathering and sharing of information and resources.
     o Providing training to local law and code enforcement personnel within the TEA jurisdiction to encourage referrals or citations.
     o Establishing and conducting checkpoints to identify unregistered waste tire haulers.
     o Attending administrative, court and/or CalRecycle hearings and supporting case development.
   - Assisting CalRecycle with investigations and referrals by:
     o Making waste tire enforcement referrals, as approved or required.
     o Investigating waste tire referrals, complaints, violations, discrepancies, and legal records searches, etc., as requested.
     o Obtaining inspection warrants and other warrants as needed in participation with local law enforcement activity.
     o Performing interviews and field investigations to develop enforcement cases.
     o Research databases and document past enforcement activity.
   - After appropriate enforcement and surveillance, coordinating with other agencies to remediate environmental damage due to illegal dumping and storage of waste tires, including:
     o Reviewing of regulations and procedures.
     o Coordinating with Local Conservation Corps for cleanups, and other related activity.
     o Coordinating with CalRecycle for cleanup and lien options.
   - Record Keeping
     o Producing and maintaining documents and files to track waste tire enforcement-related activities.
3. Grantees must report enforcement and surveillance activities to the CalRecycle Inspection Liaison as follows:
   - Report within 15 calendar days all enforcement actions on waste tire-related cases, including any referrals to the DA's Office and any actions taken by the DA's Office on waste tire related cases.
   - Report within 15 calendar days all waste tire enforcement referrals, as approved or required. See Inspection section below.

Field Patrolling and Small Tire Pile Cleanup
Field Patrolling and Small Tire Pile Cleanup may not exceed 15 percent of the total approved Budget. Field Patrolling must be productive. Unproductive Field Patrolling, such as visiting the same locations more than once per quarter for observation, may be ineligible for reimbursement. Eligible field patrolling activities and costs are limited to:

- Preparation and planning of field patrol.
- Follow-up on illegal dumping complaints and referrals.
- Patrolling locations with known illegal waste tire dumping once per quarter.
- Cleanup of small tire piles on public land with 35 or fewer waste tires including disposal fees.

Inspections - Priorities and Eligible Activities
Inspections are the core component of the grant. Inspections are to be conducted according to the quality standards as outlined in the **CalRecycle Waste Tire Enforcement Manual** in order to be eligible for reimbursement. <u>Actual personnel hours must be documented and back-up maintained according to the Terms and Conditions, Audit/Records Access provision on page 2. See further guidance in the Personnel Hours section.</u>

Grantees shall inspect locations with TPID numbers assigned in the Inspection Priority Work Plan provided by CalRecycle with the NTP email. All other inspections must be submitted in the Inspection Log. Each inspection is to be recorded on the Inspection Log. The Inspection Log has a tab for Priority Inspections assigned by CalRecycle, and a tab to record Non-Priority Inspections selected by the grantee. Data logged includes total hours by inspection. The hours entered on the Inspection Log are in aggregate; in other words, total hours recorded by the inspector to complete the inspection, including pre-inspection, inspection, and post-inspection activity.

Eligible inspection activities are listed below:

1. Inspector time physically or remotely inspecting a TPID is in compliance with the CalRecycle Waste Tire Enforcement Manual and the Inspection Priority Work Plan.
2. Identifying new TPID numbers using WTMS to generate reports.
3. Pre-inspection planning.
4. Post-inspection reporting and follow-up.
5. Communicating with facility staff or owners before or after an inspection.
6. Travel time to-and-from inspections.
7. Physically inspecting the TPID number locations, taking photographs, interviewing personnel, writing and submitting complete and correct inspection reports.

   Note: Non-physical inspections may be allowed under emergency and extenuating circumstances with prior approval from CalRecycle.

8. Only Inspections at the following frequencies are eligible:
   - Only one routine inspection is allowed per active TPID.

- A maximum of two re-inspections may be performed per active TPID if a NOV was documented during the original routine inspection.
- Only one observation inspection may be performed, as described in the CalRecycle Waste Tire Enforcement Manual, per active TPID.
- Only one educational inspection may be performed per each active, new, never-inspected TPID within the grant performance period.

Training

Training is reimbursable for tire enforcement staff, supervisors and other staff who work directly on grant activities. In-house training is to be charged under the applicable budget category (i.e., inspection training is charged under the inspection budget).

Unless otherwise approved, grantee training requirements and eligibility are as follows:

1. Grantee must maintain and provide to CalRecycle a list of inspectors and lead inspectors, their qualifications, and the amount time they are committed to the Program (i.e., percentage or quantity of inspections).
2. All inspectors must be trained and approved by CalRecycle prior to conducting eligible inspections. Existing inspectors may be approved by CalRecycle without additional training.
3. **Mandatory training** activities include:
   - New inspector inspection training (must be provided by CalRecycle)
   - CalRecycle-sponsored Waste Tire Round Tables[1]
   - WTMS Training[1]
   - Technical Training Series[1]
     i. Only 8 hours per day are eligible for reimbursement
   - Grant Administration Training
   - Other mandatory training as required by CalRecycle

4. Eligible **non-mandatory training** includes:
   - Meetings, training or conferences requested by CalRecycle
   - Coordinating and hosting CalRecycle-sponsored training events
   - CalEPA sponsored Enforcement Symposium
   - Basic Inspector Academy
   - Conducting Effective Interviews for Inspectors
   - Environmental Enforcement Training
   - Basic and refresher health and safety related classes, including Hazardous Waste Operations and Emergency Response (HAZWOPER)
   - Hauler Training
   - Specific training approved in the Budget or that are pre-approved in writing by the Grant Manager
5. When multiple sessions of a training event are scheduled, grantees must attend the session closest to their location. Exceptions must be justified and pre-approved by the Grant Manager.
6. If attending an event with multiple subjects of which only part is related/beneficial to waste tire enforcement, the portion of the training and travel costs charged to

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[1]Grantee must send at least one inspector to each of these events.

the TEA grant must be proportional to the class time devoted to waste tire enforcement.

Transportation

Eligible transportation costs **are those which are necessary** to perform TEA Grant activities in the approved budget. The total budgeted in this category may not exceed 10 percent of the total approved Budget.

Any activities/costs not specifically listed below must be pre-approved in writing by the Grant Manager to be reimbursable. The following activities/costs are eligible:

- **Use of grantee-owned or personal vehicles (mileage)**. Grantees may claim vehicle usage costs based upon actual mileage of the grantee or the state mileage rate, whichever is less.
- **Travel and Travel Expenses**. All travel costs must be in accordance with the California State Travel policies (http://www.calhr.ca.gov/employees/Pages/travel-reimbursements.aspx). Reimbursable mileage and other travel expenses (per diem) may not exceed the state rates as set forth in the State Administrative Manual. Documentation submitted for travel reimbursement must include departure and return times and dates.

Equipment

Equipment, materials and supplies necessary to perform eligible waste tire activities under the TEA Grant are eligible for reimbursement. This category may not exceed 10 percent of the total approved Budget.

Where equipment is utilized for the purposes of more than one program, costs charged to the TEA grant must be allocated proportionate to actual use.

1. Examples of eligible equipment include:
   - Personal Protective Equipment: including boots, reflective vests or logo/identifying windbreakers, hard hat/sun hat, gloves, face masks, safety glasses.
   - Field equipment: including measuring devices, GPS, binoculars, camera and accessories, clipboards.
   - Cell phones, mobile Wi-Fi hotspots and cell service.
   - Computers or tablets, and related standard accessories.

Indirect Cost

Indirect Cost Allocation Plan (New Requirement)

Indirect costs must be included in the Indirect Cost Allocation Plan submitted in the grantee's grant application.

Upload a GAAP-compliant Cost Allocation Plan to the Documents Tab in GMS that details how your organization will allocate Indirect Cost charged to this grant. A Cost Allocation Plan must be obtained from your jurisdiction's accounting department. If indirect costs are not included in the budget, this requirement does not apply to your application. Indirect costs will be disallowed unless an approvable Cost Allocation Plan is submitted.

Indirect costs may not exceed 20% of the direct costs in the approved budget. Grantees shall allocate Indirect Costs according to the jurisdictions cost allocation methodology which must adhere to Generally Accepted Accounting Principles (GAAP).

Budgeting for Indirect:
Multiply the total of all direct charges by 20% to find the maximum indirect cost allocation allowed.

How to charge indirect:
Indirect costs are not limited to 20% of an invoice. A grantee may charge the agency's full indirect cost rate, but only until the approved Indirect Cost line item allocation is exhausted.

Ineligible Costs
Any costs not specifically included in the approved Budget and not directly related to Local Government Waste Tire Enforcement (TEA) Grant Program and the approved grant project are ineligible for reimbursement. The grantee should contact the Grant Manager if clarification is needed. Ineligible costs include, but are not limited to:
- Costs incurred prior to June 30, 2022, the date that CalRecycle sends the Notice to Proceed email, or after September 30, 2023.
- <u>Personnel costs charged as a flat rate for grant activity. Only actual personnel hours may be reimbursed and must be backed up by timesheets or other time accounting practices.</u>
- Performance Costs incurred outside the Performance Period, prior to June 30, 2022 or after June 29, 2023.
- Reporting Costs incurred after September 30, 2023.
- Budget modifications may not cause any budget category to exceed a category cap.
- Costs that exceed the percentage cap of a capped category.
- Printing materials for education other than the CalRecycle brochures.
- Unapproved training costs.
- Food (except for meals when travelling to approved training according to State per diem rates and restrictions).
- Out of state travel.
- <u>Ineligible inspection activities</u> include inspections of the following: (except as otherwise pre-approved in writing or requested by the CalRecycle Inspector Liaison. **Note:** If you find a TPID number has been included on your work plan that you believe is ineligible based on the following, **do not inspect it**. Contact your CalRecycle inspector liaison for confirmation or written approval to proceed):
  - Locations where the TPID number does not have a site (physical) address in the grantee's jurisdiction or is located at an address that is not listed in WTMS.
  - Closed TPID numbers (refers to the TPID Site Status in WTMS)
  - Unproductive Field Patrolling visits to sites on multiple dates within the same quarter or repeat visits when waste tires were not discovered.
  - Inspections that are not approved for payment by the CalRecycle Liaison.
  - Activity on Farm/Ranch/Dairy/Ag Sites.
  - Activity on Tribal Lands.

- o Inspections of Permitted Major or Minor Waste Tire Facilities unless invited to participate with a CalRecycle Inspector.
- o Inspections of previously inspected Small Quantity Generators (SQG) unless the TPID is on the Priority Work Plan, or pre-approved by the CalRecycle Liaison. (SQG refers to the TPID number's Site Role identified in the WTMS.)

Bids

- Bids **must** be obtained for purchases $5,000 and higher when:
  - o Making a single purchase from any vendor for products or services where the charge to the grant funds is $5,000 or higher.
    1. There are multiple bona fide vendors for the service/product to be purchased.
    2. At the beginning of a contract cycle when the cost of the contract billed to the grant is $5,000 or higher. After a contract bid is accepted according to the requirements of the Grant Agreement, the contract need not be rebid until the end of the contract term is reached.
  - o Bids **need not** be obtained when:
    1. A vendor provides a bid for services that is less than $5,000 but the actual cost of the job exceeds $5,000 due to unexpected conditions that require additional labor or materials.

Modifications

The grantee must submit any proposed revision(s) to the Budget in writing to the Grant Manager. The grantee may not incur costs or make expenditures based on the revision without first receiving the Grant Manager's written approval. Grantees with an urgent budget modification need, wherein an expense must be made before Grant Manager permission is received, must provide a written justification and obtain Grant Program Supervisor approval for the modification in order for the expenses to be eligible. Proposed revisions must be clearly marked on the Budget and must be accompanied by a summary of proposed changes or modifications, including justification for the proposed changes. If approved, the Grant Manager will upload the final revised Budget to GMS and notify the grantee. The grantee may submit proposed revisions in conjunction with a Progress Report. The grantee should retain the approval document(s) for audit purposes. See the "Audit Record/Access" section of the Terms and Conditions (Exhibit A).

To request a budget modification:
- Complete the Budget document with proposed changes.
- Email the budget document as an attachment to the Grant Manager. Include a specific justification for the modifications in the body of the email.
- If the change involves adding a new line item to the budget, a narrative justification must also be included.

Acknowledgements

The grantee shall acknowledge CalRecycle's support each time a project funded, in whole or in part, by this Agreement is publicized in any medium, including news media,

brochures, or other types of promotional materials. The acknowledgement of CalRecycle's support must incorporate the CalRecycle logo. Initials or abbreviations for CalRecycle shall not be used. The Grant Manager may approve deviation from this requirement on a case-by-case basis where such deviation is consistent with CalRecycle's Communication Strategy and Outreach Plan.

Reporting Requirements

The Grant Agreement requires a Progress Report and a Final Report; however, the Grant Manager may require additional Progress Reports at any time during the Grant Term. Failure to submit the Final Report with appropriate documentation by the due date may result in rejection of the Payment Request and/or forfeiture by the grantee of claims for costs incurred that might otherwise have been eligible for grant funding.

The grantee must upload all reports in GMS. For further instructions regarding GMS, including login directions, see the "Grants Management System" section (above).
To upload a report:

1. Go to the **Reports** tab.
2. Click on the appropriate Report Type.
3. Click on the **Add Document** button.
4. Choose the Document Type, enter a document title, click the **Browse** button to search and upload the document, and then **Save**.
    - Select the **Back** button to upload another document and continue the process until all required documents as listed below are uploaded.
    - The maximum allowable file size for each document is 35MB.
5. Click the **Submit Report** button to complete your report submittal. The **Submit Report** button will not be enabled until all required reporting documents are uploaded.

The reports must be current, include all required sections and documents, and must be approved by the Grant Manager before any Payment Request can be processed.

Failure to comply with the specified reporting requirements may be considered a breach of the Grant Agreement and may result in the termination of the Grant Agreement, rejection of the Payment Request, and/or forfeiture by the grantee of claims for costs incurred that might otherwise have been eligible for grant funding. The grantee must report any problems or delays immediately to the Grant Manager.

Electronic and Original Signatures

CalRecycle now allows for certified e-Signature or original wet signature on documents or forms that certify legally binding information.

Note: E-signatures must include the first and last name of the Signature Authority, be in the Adobe Digital ID format (or through another certified digital signature program) and cannot be the "Fill and Sign" function within Adobe. Any documents using the "Fill and Sign" method is considered incomplete and may be sent back to the grantee.

If you have questions, email grantassistance@calrecycle.ca.gov.

Progress Report and Midyear Payment Request

The grantee must submit a **Progress Report** and Midyear Payment Request by February 25, 2023. This report should cover grant activities that occurred from the Notice to Proceed date through December 31, 2022.

Final Report

The Final Report is due not later than September 30, 2023. This report should cover grant activities **from the Notice to Proceed** through **September 30, 2023**. The grantee must include the following items in the Final Report:

- The Grant Number, grantee's name, and Grant Term.
- The following disclaimer statement on the cover page:
  "The statements and conclusions of this report are those of the grantee and not necessarily those of the Department of Resources Recycling and Recovery (CalRecycle), its employees, or the State of California. The state makes no warranty, express or implied, and assumes no liability for the information contained in the succeeding text."
- Signed by an Authorized Signatory
- Completed three tabs

Grant Payment Information

- Payment to the grantee for eligible grant expenses is made on a reimbursement basis only, and only for those materials and services specified in the approved grant application.
- The grantee may request reimbursement only twice during the Grant Term. In conjunction with (or after) submission of the Progress Report and in conjunction with the Final Report.
- The grantee must submit the required Progress Report/Final Report prior to, or concurrent with, submission of the Grant Payment Request. No reimbursement is made prior to Grant Manager approval of the report.
- The grantee must submit a completed Grant Payment Request and provide supporting documentation as described in the "Payment Request and Documentation" section for completed project(s) only.
- CalRecycle will make grant payments to only the grantee. It is the grantee's responsibility to pay all contractors and subcontractors for purchased goods and services.
- CalRecycle will withhold and retain 10 percent of each approved Grant Payment Request amount until all conditions stipulated in the Agreement, including submission and Grant Manager approval of the Progress and Final Reports, have been satisfied.
- CalRecycle will make payments to the grantee as promptly as fiscal procedures permit. The grantee can typically expect payment approximately 45 days from the date the Grant Manager approves a Grant Payment Request.
- The grantee must provide a [Reliable Contractor Declaration (CalRecycle 168)](https://www.calrecycle.ca.gov/Funding/forms/) (https://www.calrecycle.ca.gov/Funding/forms/) signed under penalty of perjury by the grantee's contractors and subcontractors in accordance with the "Reliable Contractor Declaration" section of the Terms and Conditions (Exhibit A). The declaration must be received and approved by the Grant Manager prior to commencement of work. See the "Reliable Contractor Declaration" section in Terms and Conditions (Exhibit A) for more information.

Payment Request and Documentation
Failure to submit the final Payment Request with appropriate documentation by the due date may result in rejection of the Payment Request and/or forfeiture by the grantee of claims for costs incurred that might otherwise have been eligible for grant funding.

The grantee must submit payment requests in GMS. For further instructions regarding GMS, including login directions, see the "Grants Management System" section (above). To submit a Grant Payment Request:

1. Go to the **Payment Request** tab.
2. Click on the **Create a Payment Request** button.
   a. Choose **Reimburse** for the **Transaction Type** and enter the amount spent in each budget subcategory.
   b. When the transaction is complete, click the **Save** button.
   c. After the transaction is saved, the **Upload Supporting Documents** button will appear in the lower right corner.
3. Click the **Upload Supporting Documents** button.
   a. Choose the **Document Type**, enter a **document title**, click the **Browse** button to search and upload the document, and then **Save**.
   b. Select the **Back** button to upload another document and continue this process until all required supporting documents as listed below are uploaded.
   c. The maximum allowable file size for each document is 35MB.
4. Click the **Submit Transaction** button, located on the transaction page, to complete your payment request. The **Submit Transaction** button will not be enabled until all required supporting documents are uploaded.
   a. **Note:** Once a transaction is saved, select the transaction number from the **Payment Request** tab to access it again. Please do not create multiple transactions for the same requested funds.

Supporting Documentation

- **Grant Payment Request form** (CalRecycle 87)
  o A scanned copy with the signature of the signatory or his/her designee, as authorized by grantee's Resolution or Letter of Commitment, must be uploaded to GMS.
     ▪ **Note:** A designee may sign on behalf of the grantee if a) authorized by the Resolution or Letter of Commitment, and b) a Letter of Designation has been provided to the Grant Manager.
- **Cost and Payment Documentation**
  o Acceptable cost and payment documentation must include at least one of each of the following.
     ▪ Invoices, receipts, or purchase orders must include the vendor's name and telephone number, address, description of goods or services purchased, amount due, and date. The claimed expenses should be highlighted and identified with applicable task number on each invoice.
  o Proof of payment may include:
     ▪ copy of cancelled check(s) that shows an endorsement from the banking institution

- invoice(s) showing a zero balance, or stamped "paid" with a check number, date paid, and initials
- accounting system report from local government if it contains the vendor name, date of invoice, invoice number, check number or internal ID, and date amount was paid
- bank statement(s) along with a copy of the endorsed check or invoice showing the check number
- copy of an electronic funds transfer confirmation
- copy of a credit card statement(s)
  - o The Grant Manager may require additional cost and payment documentation as necessary to verify eligible costs.
- **Program Specific Forms**
  - o Expenditure Itemization Summary (CalRecycle 736)
  - o Inspection Log (CalRecycle Inspection Priority Work Plan and Non-Priority Inspections - Completed Excel file)
  - o Proof of payment for disposal fees related to small cleanups
  - o Travel Expense Log Form (CalRecycle 246) for hotel, meals, per diem and other expenses, hotel receipts and other receipts for conference fees, tuition, etc.
  - o Certificate of completion for non-mandatory training
  - o Mileage logs
  - o Hourly Rate Document

All forms listed above are available from the [CalRecycle Grant Forms web page](https://www.calrecycle.ca.gov/Funding/Forms) (https://www.calrecycle.ca.gov/Funding/Forms).

Personnel Hours

Grantees must detail personnel hours charged to the grant by budget category on the EIS. Inspection hours are also entered on the Inspection Log. Grantees must maintain, and provide upon request, detailed timekeeping records of all personnel hours worked on TEA grant activities. This documentation must be maintained for three years after the final payment is received for auditing purposes.

For each pay period, the employee's timekeeping document must contain at minimum:
- Employee name and classification
- Total hours worked and leave taken during the pay period
- Hours worked/leave taken per day
- Description of the activity/task on which the employee worked for each hour worked

Supervision of staff conducting eligible activities constitutes a direct grant cost; therefore, grantees may claim, under each Budget category, a direct supervision time and costs related to that category.

Grantees may calculate an actual/loaded hourly rate for each employee that includes actual salary, wages, shift differentials, and contractual fringe benefits. (Grantees are cautioned to ensure that costs included in a loaded hourly rate are not duplicated in the Indirect Costs.)

Performance Evaluation

The grantee will be evaluated on its effectiveness and efficiency in fulfilling the procedures and requirements outlined in this document. The Progress Report and Final Report will collect some of the data for this evaluation. Data collected will assess the quality and efficiency of work completed in all categories, particularly in Inspections, Enforcement, Education, and Field Patrolling.

All forms listed above are available from the [CalRecycle Grant Forms web page](https://www.calrecycle.ca.gov/Funding/Forms) (https://www.calrecycle.ca.gov/Funding/Forms).

Audit Considerations

The grantee agrees to maintain records and supporting documentation pertaining to the performance of this grant subject to possible audit for a minimum of three (3) years after final payment date or Grant Term end date, whichever is later. CalRecycle may stipulate a longer period of records retention in order to complete any action and/or resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later.

Examples of audit documentation include, but are not limited to, competitive bids, grant amendments if any relating to the Budget or Work Plan, copies of any agreements with contractors or subcontractors if utilized, expenditure ledger, payroll register entries, time sheets, personnel expenditure summary form, travel expense log, paid warrants, contracts and change orders, samples of items and materials developed with grant funds, invoices, and cancelled checks. Please refer to the Terms and Conditions (Exhibit A) for more information.